

Please type a plus sign (+) inside this box → **Ⓢ**
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Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 7K522/00008
First Inventor Plunk
Title Retrofit Recessed Fluorescent Strip
Fixture and Method

Express Mail Label EL625173935US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 15]
(Preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 1]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(If applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document *(if applicable)*
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner: _____

of prior application No.: _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been in the priority omitted from the submitted application parts.

19. ☒ CUSTOMER ADDRESS

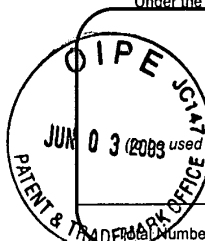
☒ Customer Number or Bar Code Label

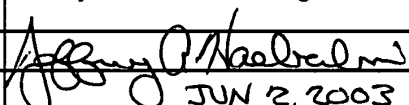
or ☐ Correspondence address below


Name	Jeffrey A. Haeberlin, Esq.				
Address	2500 Brown & Williamson Tower				
City	Louisville	State	Kentucky	Zip Code	40202
Country	USA	Telephone	(502) 584-1135	Fax	(502) 561-0442
Name (Print/Type)	Jeffrey A. Haeberlin	Registration No. (Attorney/Agent)	40,630		
Signature			Date	05/25/2001	

Burden Hour Statement: This form is estimated to take 0.5 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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	TRANSMITTAL FORM	
	used for all correspondence after initial filing)	
	Application Number	09/865,833
	Filing Date	05/25/2001
	First Named Inventor	Plunk, Carlton
	Art Unit	2875
Examiner Name	Negron, Ismael	
Attorney Docket Number	ZK522/00008	
Total Number of Pages in This Submission		88

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Cover letter File history Postcard
Remarks Complete file enclosed replaces lost file		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual	Jeffrey A. Haeberlin, Reg. No. 40,630	
Signature		
Date	JUN 2, 2003	

CERTIFICATE OF TRANSMISSION/MAILING <i>Express Mail</i>		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>6/3/2003</u>		
Typed or printed	Pamela J. Hogan	
Signature		Date <u>6/3/2003</u>

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 80.00

Complete if Known

Application Number	09/865,833
Filing Date	05/25/2001
First Named Inventor	Plunk, Carlton
Examiner Name	Negron, Ismael
Group Art Unit	2875
Attorney Docket No.	ZK522/00008

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
	-20** =	X	
Independent Claims	-3** =	1 X	80.00
Multiple Dependent			

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 80.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00

SUBMITTED BY

Name (Print/Type) Jeffrey A. Haeblerlin

Registration No. 40,630
(Attorney/Agent)

Complete (if applicable)

Telephone (502) 584-1135

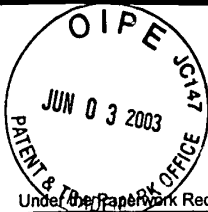
Signature

Date

8/29/02

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PTO/SB/21 (08-00)
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/865,833	
	Filing Date	05/25/2001	
	First Named Inventor	Plunk, Carlton	
	Group Art Unit	2875	
	Examiner Name	Negron, Ismael	
Total Number of Pages in This Submission	32	Attorney Docket Number	ZK522/00008

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Fee determination Revised Declaration
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Jeffrey A. Haeberlin, Reg. No. 40,630
Signature	
Date	AUG. 29, 2002

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 8-29-2002	
Typed or printed name	Pamela J. Hogan
Signature	
Date	8-29-2002

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Approved for use through 10/31/2002. MB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 1,018.00

Complete If Known

Application Number

Filing Date

First Named Inventor

PLUNK

Examiner Name

Group Art Unit

Attorney Docket No.

ZK522/00008

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit

Account

Number

Deposit

Account

Name

- ☐ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check

☒ Credit card

☐ Money

Order

☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$)

101 710 201 355 Utility filing fee

106 320 206 160 Design filing fee

107 490 207 245 Plant filing fee

108 710 208 355 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid

710.00

SUBTOTAL (1) (\$ 710.00

2. EXTRA CLAIM FEES

Total Claims 26 -20** = 6 X 18 = 108.00
Independent Claims 5 -3** = 2 X 80 = 160.00
Multiple Dependent ☐ = ☐

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20

102 80 202 40 Independent claims in excess of 3

104 270 204 135 Multiple dependent claim, if not paid

109 80 209 40 ** Reissue independent claims
over original patent

110 18 210 9 ** Reissue claims in excess of 20
and over original patent

SUBTOTAL (2) (\$ 268.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large

Small

Entity

Entity

Fee

Fee

Fee

Fee

Fee Description

Fee Paid

Code

Code

Code

Code

105

130

205

65

Surcharge - late filing fee or oath

127

50

227

25

Surcharge - late provisional filing fee or
cover sheet

139

130

139

130

Non-English specification

147

2,520

147

2,520

For filing a request for ex parte reexamination

112

920*

112

920*

Requesting publication of SIR prior to
Examiner action

113

1,840*

113

1,840*

Requesting publication of SIR after
Examiner action

115

110

215

55

Extension for reply within first month

116

390

216

195

Extension for reply within second month

117

890

217

445

Extension for reply within third month

118

1,390

218

695

Extension for reply within fourth month

128

1,890

228

945

Extension for reply within fifth month

119

310

219

155

Notice of Appeal

120

310

220

155

Filing a brief in support of an appeal

121

270

221

135

Request for oral hearing

138

1,510

138

1,510

Petition to institute a public use proceeding

140

110

240

55

Petition to revive - unavoidable

141

1,240

241

620

Petition to revive - unintentional

142

1,240

242

620

Utility issue fee (or reissue)

143

440

243

220

Design issue fee

144

600

244

300

Plant issue fee

122

130

122

130

Petitions to the Commissioner

123

50

123

50

Processing fee under 37 CFR 1.17(q)

126

180

126

180

Submission of Information Disclosure Stmt

581

40

581

40

Recording each patent assignment per
property (times number of properties)

146

710

246

355

Filing a submission after final rejection
(37 CFR § 1.129(a))

149

710

249

355

For each additional invention to be
examined (37 CFR § 1.129(b))

179

710

279

355

Request for Continued Examination (RCE)

169

900

169

900

Request for expedited examination
of a design application

Other fee (specify)

SUBTOTAL (3) (\$ 40.00

SUBMITTED BY

Name (Print/Type)

Jeffrey A. Haeblerlin

Registration No.

(Attorney/Agent)

40,630

Complete (if applicable)

Telephone

(502) 584-1135

Signature

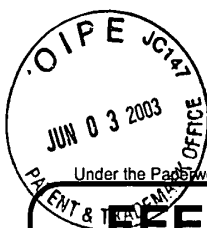
Jeffrey A. Haeblerlin

Date

05/25/2001

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PTO/SB/17 (01-03)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 84.00

Complete if Known

Application Number 09/865,833
Filing Date 05/25/2001
First Named Inventor Plunk, Carlton
Examiner Name Negron, Ismael
Art Unit 2875
Attorney Docket No. ZK522/00008

METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number
Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims -20** = X =
Independent Claims -3** = X =
Multiple Dependent =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 84.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

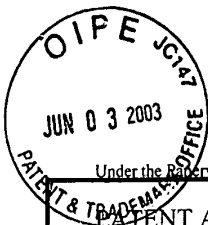
SUBMITTED BY

Name (Print/Type) Jeffrey A. Haeberlin
Registration No. (Attorney/Agent) 40,630
Telephone 502-584-1135
Signature *Jeffrey A. Haeberlin*
Date JUN 2, 2003

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U. S. Patent and Trademark Office; U. S. DEPARTMENT OF COMMERCE

PATENT APPLICATION FEE DETERMINATION RECORD					Application or Docket Number ZK522-00008				
CLAIMS AS FILED - PART I					SMALL ENTITY OR OTHER THAN SMALL ENTITY				
(Column 1)		(Column 2)							
FOR	NUMBER FILED	NUMBER EXTRA		RATE	FEE	RATE	FEE		
BASIC FEE (37 CFR 1.16(a))					\$ 710		\$ 710		
TOTAL CLAIMS (37 CFR 1.16(c))		26	minus 20 =	* 6	x \$ =	OR	x \$ 18 = 108		
INDEPENDENT CLAIMS (37 CFR 1.16(b))		5	minus 3 =	* 2	x =	OR	x 80 = 160		
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))				+	=	OR	+		
				TOTAL		OR	TOTAL 978		
* If the difference in column 1 is less than zero, enter "0" in column 2									
CLAIMS AS AMENDED - PART II					SMALL ENTITY OR OTHER THAN SMALL ENTITY				
(Column 1)		(Column 2)		(Column 3)					
AMENDMENT A		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDI-TIONAL FEE	RATE	ADDI-TIONAL FEE
	Total (37 CFR 1.16(c))	* 18	Minus	** 20	= 0	x \$ =		OR	x \$ 1 = 0
	Independent (37 CFR 1.16(b))	* 6	Minus	*** 5	= 1	x =		OR	x 84 = 84
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))					+	=	OR	+
				TOTAL		OR	TOTAL 84		
(Column 1)		(Column 2)		(Column 3)		ADDIT. FEE		ADDIT. FEE	
AMENDMENT B		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDI-TIONAL FEE	RATE	ADDI-TIONAL FEE
	Total (37 CFR 1.16(c))	*	Minus	**	=	x \$ =		OR	x \$ =
	Independent (37 CFR 1.16(b))	*	Minus	***	=	x =		OR	x =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))					+	=	OR	+
				TOTAL		OR	TOTAL		
(Column 1)		(Column 2)		(Column 3)		ADDIT. FEE		ADDIT. FEE	
AMENDMENT C		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDI-TIONAL FEE	RATE	ADDI-TIONAL FEE
	Total (37 CFR 1.16(c))	*	Minus	**	=	x \$ =		OR	x \$ =
	Independent (37 CFR 1.16(b))	*	Minus	***	=	x =		OR	x =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))					+	=	OR	+
				TOTAL		OR	TOTAL		
(Column 1)		(Column 2)		(Column 3)		ADDIT. FEE		ADDIT. FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

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Pamela J. Hogan
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Direct tel (502) 625-2820
Direct fax: (502) 588-1974



Mail Stop Reconstruction
Attn. Examiner Ismael Negrón
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RE: GENLYTE THOMAS GROUP LLC
Title: Retrofit Recessed Fluorescent Strip Fixture and Method
Serial No. 09/865,833; filed 05/25/2001
Art Unit. 2875
Day-Brite Division
Our Ref.: ZK522-00008

Dear Mr. Negrón:

Pursuant to our telephone conversation of yesterday, enclosed please find a copy of our prosecution file, which should assist you in reconstructing the missing file. Also enclosed please find the fee transmittal and credit card forms for an additional claim that was added in our August 29th Amendment.

If you have any questions or concerns, please call.

Sincerely,
MIDDLETON REUTLINGER

Pamela J. Hogan
Intellectual Property Assistant

/pjh
Enclosures

06-04-03

June 3, 2003

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage as Express Mail, in an overnight letter envelope addressed to:

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Pamela J. Hogan

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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/865,833	05/25/2001	Carlton Plunk	ZK522/00008

CONFIRMATION NO. 5838

22884
MIDDLETON & REUTLINGER
2500 BROWN & WILLIAMSON TOWER
LOUISVILLE, KY 40202



Title: Retrofit recessed fluorescent strip fixture and method

Publication No. US-2001-0050850-A1
Publication Date: 12/13/2001

Date Mailed: 12/14/2001

NOTICE OF PUBLICATION OF APPLICATION

The above-identified application will be electronically published as a patent application publication pursuant to 37 CFR 1.211, et seq. The patent application publication number and publication date are set forth above.

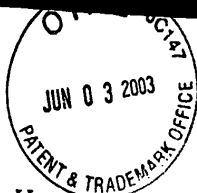
The publication may be accessed through the USPTO's publically available Searchable Databases via the Internet at www.uspto.gov. The direct link to access the publication is currently <http://www.uspto.gov/patft/>.

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Office of Public Records. The Office of Public Records can be reached by telephone at (703) 308-9726 or (800) 972-6382, by facsimile at (703) 305-8759, by mail addressed to the United States Patent and Trademark Office, Office of Public Records, Crystal Gateway 4, Room 335, Washington, D.C. 20231, or via the Internet.

In addition, information on the status of the application, including the mailing date of Office actions and the dates of receipt of correspondence filed in the Office, may also be accessed via the Internet through the Patent Electronic Business Center at www.uspto.gov using the public side of the Patent Application Information and Retrieval (PAIR) system. The direct link to access this status information is currently <http://pair.uspto.gov/>. Prior to publication, such status information is confidential and may only be obtained by applicant using the private side of PAIR.

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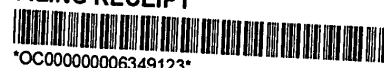
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/865,833 ✓	05/25/2001 ✓	2875	978	ZK522/00008 ✓	6	26	5

22884
MIDDLETON & REUTLINGER
2500 BROWN & WILLIAMSON TOWER
LOUISVILLE, KY 40202

CONFIRMATION NO. 5838

FILING RECEIPT



OC000000006349123

Date Mailed: 07/26/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Carlton Plunk, Saltillo, MS; ✓

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/209,925 06/07/2000 ✓

Foreign Applications

If Required, Foreign Filing License Granted 07/26/2001 ✓

Projected Publication Date: 12/13/2001 ✓

Non-Publication Request: No

Early Publication Request: No

Title

Retrofit recessed fluorescent strip fixture and method

Preliminary Class

362

Data entry by : GEREMEW, FIKIRTE

Team : OIPE

Date: 07/26/2001



AUGUST 15, 2001



2K522- 03008
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Patent and Trademark Office
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101739257A

MIDDLETON REUTLINGER
JEFFREY A. HAEBERLIN, ESQ.
2500 BROWN & WILLIAMSON TOWER
LOUISVILLE, KENTUCKY 40202

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NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/25/2001

REEL/FRAME: 011853/0620
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PLUNK, CARLTON

DOC DATE: 05/23/2001 ✓

ASSIGNEE:

GENLYTE THOMAS GROUP LLC A DE. —
LIMITED LIABILITY COMPANY
4360 BROWNSBORO ROAD, SUITE 300 —
LOUISVILLE, KENTUCKY 40207 ✓

SERIAL NUMBER: 09865833
PATENT NUMBER:

FILING DATE: 05/25/2001 ✓
ISSUE DATE:

PEARLENE FOSTER, EXAMINER
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✓



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TO:	Name: Ismael Negron, Examiner
	Address: U.S. Patent and Trademark Office
	Fax # 703-746-4764
	Date: August 29, 2002
	Time:
FROM:	Name: Pamela J. Hogan
NUMBER OF PAGES (including cover sheet): 33	

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RE: Application of Plunk
U.S. Serial No. 09/865,833; Filed 05/25/2001
For: RETROFIT RECESSED FLUORESCENT STRIP AND METHOD
Our Ref. No. ZK522/00008

REMARKS: This facsimile is in response to the Office Action mailed June 5, 2002. Pursuant to our telephone conversation of yesterday, our credit card payment follows this cover sheet along with the following documents.

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that the following papers are facsimile-transmitted to the Patent and Trademark Office on the date shown below.

- 1) Transmittal Form (PTO/SB/21)
- 2) Fee Transmittal (PTO/SB/17)
- 3) Credit Card Information (PTO-2038)
- 4) Fee Determination (PTO/SB/06)
- 5) Reply A, With Amendment, Under Rule 111 (21 pages)
- 6) Drawings (6 pages)

Pamela J. Hogan
Intellectual Property Assistant
Person Signing

Pamela J. Hogan
Signature

8-29-2002
Date



MIDDLETON REUTLINGER
2500 Brown & Williamson Tower
Louisville, Kentucky 40202-3410
Main Tel (502) 584-1135; Direct Tel (502) 625-2753
Direct Fax (502) 588-1932
Email: jahaeblerlin@middreut.com

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TO:	Name: Examiner Ismael Negron
	Address: U.S Patent Office
	Fax # (703)746-4764
	Date: August 22, 2002
	Time:
FROM:	Name: Jeffrey A. Haeberlin
NUMBER OF PAGES (including cover sheet): 20	

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RE: Application No. 09/865,833

In preparation for our personal interview, scheduled for 10:00 a.m. on Friday, August 23, 2002 (tomorrow) attached is a Discussion Draft of a Reply to the current Office Action in the above application.

Please contact me at (502)625-2753 with any questions or comments you may have. Otherwise, I look forward to our meeting tomorrow morning.

Jeff Haeberlin

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TO: Name: Sandra O'Shea, Supervisory Patent Examiner

Address: U.S. Patent & Trademark Office

Fax # 703-305-3594

Date: February 25, 2003

Time:

FROM: Name: Pamela J. Hogan, Intellectual Property Assistant

NUMBER OF PAGES (including cover sheet): 35

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RE: U.S. Serial No. 09/865,833, filed 05/25/2001

Application of Plunk

For: RETROFIT RECESSED FLUORESCENT STRIP AND METHOD

Atty. Dkt. No. ZK522/00008

Sandy, per your phone message today, I am faxing the amendment, which we faxed to the USPTO on August 29th. On the 29th, the Art Group fax number would not go through, so I called Customer Service for another number and was given 703-746-4764. The transmission appears to have gone through. Please call me tomorrow regarding this application. Thank you.

Regards,

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**OUR TELECOPIER IS A CANON 710
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TO: Name: Ismael Negron, Examiner

Address: U.S. Patent and Trademark Office

Fax # 703-746-4764

Date: August 29, 2002

Time:

FROM: Name: Pamela J. Hogan**NUMBER OF PAGES (including cover sheet): 33**☒ ORIGINAL WILL NOT FOLLOW☐ ORIGINAL WILL FOLLOW BY:☐ REGULAR MAIL☐ EXPRESS MAIL☐ HAND DELIVERY☐ OTHER (See Remarks)**RE:** Application of Plunk

U.S. Serial No. 09/865,833; Filed 05/25/2001

For: RETROFIT RECESSED FLUORESCENT STRIP AND METHOD

Our Ref. No. ZK522/00008



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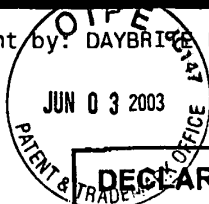
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TO: Name: Sandra O'Shea, Supervisory Patent Examiner**Address:** U.S. Patent & Trademark Office**Fax #** 703-305-3594**Date:** February 25, 2003**Time:****FROM: Name:** Pamela J. Hogan, Intellectual Property Assistant**NUMBER OF PAGES (including cover sheet):** 35

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RE: U.S. Serial No. 09/865,833, filed 05/25/2001
Application of Plunk



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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention	RETROFIT RECESSED FLUORESCENT STRIP FIXTURE AND METHOD		
As the below named inventor(s), I/we declare that:			
This declaration is directed to:			
<input type="checkbox"/> The attached application, or <input checked="" type="checkbox"/> Application No. 09/865,833, filed on 05/25/2001, <input type="checkbox"/> as amended on _____ (if applicable);			
I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;			
I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;			
I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.			
Every error in the patent, which was corrected in the present application, and is not covered by a prior oath/declaration submitted in this application, arose without any deceptive intention on the part of the applicant.			
All statements made herein or my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.			
FULL NAME OF INVENTOR(S)			
Inventor one:	Given Name: Carlton	Family Name or Surname: Plunk	
Signature:	Date: 8-19-02		
Residence City: Saltillo	State: Mississippi	Country: USA	Citizenship: USA
Mailing Address: 281 North 3 rd Avenue			
City: Saltillo	State: Mississippi	Zip: 38866	Country: USA
Inventor two:	Given Name:	Family Name or Surname:	
Signature:	Date:		
Residence City:	State:	Country:	Citizenship:
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City:	State:	Zip:	Citizenship:

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1. Utility Patent App. Transmittal
2. Fee Transmittal
3. Patent Application
4. Art
5. Declaration
6. Inventor Information Data
7. Recordation Form

CLIENT: Genlyte Thomas INVENTOR: Plunk
TITLE: Retrofit Recessed Fluorescent Strip Fixture and
Method ATTY. JAH

S/N: _____ OUR REF. # ZK522/00008

PROV. _____ UTILITY X DESIGN _____ USPN: _____

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Name (line 1) *Carlton Plunk* Execution Date
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Second Party

Name (line 1)

Name (line 2)

Execution Date
Month Day Year

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Name (line 1) *Genlyte Thomas Group LLC*

Name (line 2) *a Delaware Limited Liability Company*

Address (line 1) *4360 Brownsboro Road, Suite 300*

Address (line 2)

Address (line 3) *Louisville* *Kentucky* *40207*
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C Correspondent Name and Address

Area Code and Telephone Number (502) 584-1135

Name Jeffrey A. Haeberlin, Esq.

Address (line 1) MIDDLETON REUTLINGER

Address (line 2) 2500 Brown & Williamson Tower

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Patent Cooperation Treaty (PCT)

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Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

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05/25/2001

Date

ASSIGNMENT

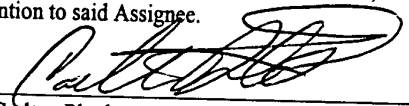
WHEREAS, Carlton Plunk, residing at 281 North 3rd Avenue, Saultillo, MS 38866, USA (the "Inventor") has invented certain new and useful improvements in the Invention disclosed in an Application for United States Letters Patent entitled RETROFIT RECESSED FLUORESCENT STRIP FIXTURE AND METHOD and executed by the Inventor on even date herewith;

AND WHEREAS, Genlyte Thomas Group LLC, a Delaware Limited Liability Company, whose principal place of business is located at 4360 Brownsboro Road, Suite 300, Louisville, Kentucky 40207 (hereafter, together with any successors, legal representatives or assigns thereof, called "Assignee"), desires to acquire the entire right, title and interest in said Invention, said Application, and any United States and foreign patents to be obtained therefor;

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Inventor hereby sells, assigns and transfers his entire right, title and interest in said Invention, said Application, including any divisions, continuations, and continuations-in-part, and in and to any and all Letters Patent of the United States, and all countries foreign thereto, which may be granted or have been granted for said Invention, and in and to any and all reissues and reexaminations thereof, and in and to any and all priority rights, Convention rights, and other benefits accruing or to accrue to the Inventor with respect to the filing of applications for patents or the securing of patents in the United States and countries foreign thereto, unto said Assignee;

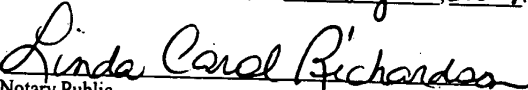
AND THE INVENTOR HEREBY agrees to sign and execute all necessary and lawful future documents, including applications for foreign patents, for filing divisions, continuations and continuations-in-part of said application for patent, and/or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid Invention, as the Assignee or its Designee(s) may from time to time require and prepare at its own expense;

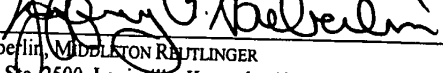
AND THE INVENTOR HEREBY authorizes and requests the United States Patent and Trademark Office, and any offices of foreign countries whose duty it is to issue patents on applications as aforesaid, to issue any Letters Patent granted upon said Application and for said Invention to said Assignee.


Carlton Plunk

5-23-01
DATE

STATE OF MISSISSIPPI _____)
COUNTY OF Lee) SS:

Subscribed, sworn and acknowledged before me by Carlton Plunk this 23rd day of May, 2001.
MISSISSIPPI STATEWIDE NOTARY PUBLIC
MY COMMISSION EXPIRES JULY 31, 2003
BONDED THRU STEGALL NOTARY SERVICE
My commission expires _____

Linda Carol Richardson
Notary Public

Prepared by: 
Jeffrey A. Haeberlin, MIDDLETON REUTLINGER
401 S. 4th Ave. Ste. 2500, Louisville, Kentucky 40202-3429
(502)584-1135 Fax: (502)561-0442 E-mail: jhaeberlin@middreut.com